

Atty. Ref.: Traderprofile-1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Tony Defarlo

Appl. No.: --

Filed: Concurrently herewith

For: DATA ANALYSIS SYSTEM FOR TRACKING FINANCIAL TRADER HISTORY AND  
PROFILING TRADING BEHAVIORBox PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231**DECLARATION BY INDEPENDENT INVENTOR**  
**CLAIMING SMALL ENTITY STATUS**

Sir:

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled "DATA ANALYSIS SYSTEM FOR TRACKING FINANCIAL TRADER HISTORY AND PROFILING TRADING BEHAVIOR" described in the above-identified application.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract of law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract of law to assign, grant, convey, or license any rights in the invention is listed below: NONE

I acknowledge the duty to file, in this application or patent, notifications of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this declaration is directed.

By



Name: Tony Defarlo

Dated:

3/27/01

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 02230 00000000

# DECLARATION FOR PATENT APPLICATION

Docket No. Traderprofile-1

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled DATA ANALYSIS SYSTEM FOR TRACKING FINANCIAL TRADER HISTORY AND PROFILING TRADING BEHAVIOR, the specification of which is attached hereto unless the following box is checked:
☐ was filed on \_\_\_\_\_ as United States Application Number or PCT International Application Number \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

NONE

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/192,382                      March 27, 2000  
 (Application Number)                      (Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35, U. S. C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

NONE

I hereby appoint the following attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Anthony J. Casella, Atty. Reg. No. 24,095, Gerald E. Hespos, Atty. Reg. No. 30,066 and Michael J. Porco, Atty. Reg. No. 46,007  
Customer No. 001218
Address all telephone calls to Anthony J. Casella at telephone number (212) 725-2450 or fax number (212) 725-2452
 Address all correspondence to Anthony J. Casella  
CASELLA & HESPOS  
274 Madison Avenue - Suite 1703  
New York, NY 10016

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor (given name, family name) Tony Defarto
 Inventor's signature [Signature]  
 Residence 73 31 71<sup>st</sup> Place, Glendale, NY 11385  
 Post Office Address same as above

 Date 3/27/01  
 Citizenship U.S.A.